EXECUTIVE SUMMARY

The Benefits Administration Application (BAA) is a collection of IT systems and tools that provide Participant Services (PS) to participants in PBGC pension plans. PS include processes which manage pension plan data, calculate pension benefits, manage benefit accounts, deliver payments, manage correspondence, and store images of plan and participant historical records.

There are several databases within BAA, however the system of record which contains the primary participant data and the Personal Identifiable Information (PII) is the Genesis database. Genesis contains several schemas which serve different applications of BAA.

The applications associated with the BAA are:

1. SPECTRUM, which maintains and processes benefit payments.
2. Case Management System (CMS), which stores and manages data about terminated pension plans (and contains no PIA data).
3. Customer Relationship Management System (CRM), stores and manages data related to participant communications, and provides a participant data interfaces for staff answering telephone inquiries.
4. Automated Letter Generation (eALG), produces written communications.
5. Image Processing System (IPS), converts paper documents to optical discs and provides a convenient user interface.

The access control tools for these applications are the User Provisioning Tool (UPT), the User Administration tool (UAM), and the Row Level Security System (RLSS).

PIA APPROACH

A questionnaire was developed in accordance with the FIPS 199- Standards for Security Categorization of Federal Information and Information Systems, Office of Management and Budget (OMB) requirements, The Privacy Act of 1974, The National Institute of Standard and Technology (NIST) recommendations, and the Federal Enterprise Architecture Business Reference Model (BRM). The questionnaire was developed in order to identify any Personal Identifiable Information (PII).

The questionnaire was given to the Information System Owner (ISO) and Subject Matter Expert (SME) of the Ariel application for their response. An Information Security Analyst from the TechGuard Security, LLC met with the ISO and SME of the Ariel to discuss the questionnaire. Responses from the ISO and the SME of Ariel were obtained and used to fill in the final PIA and analysis.

SYSTEM CHARACTERIZATION

One or more of the BAA Applications is used by staff in almost every PBGC component organization, as well as by every Field Site and off-site contractor.

THREAT STATEMENT

BAA is classified as a moderate risk system. There is a current Certification and Accreditation, and the Continuous Monitoring process is up to date.

PIA RESULTS

The PIA revealed no required mitigation actions.